

Washington Office of Insurance Commissioner

Summary of Required Filings

2005 Annual Statement and 2006 Quarterly Statements

Domestic Health Care Service Contractors and Health Maintenance Organizations

Clarified December 16, 2005

Entities must file signatures on all statements, supplements and exhibits that require a signature.

If the PDF file does not contain a legally-binding digital signature(s), then the insurer must also file the signature(s) on paper by the due date.

<u>Due Date</u>	<u>Type</u>	<u>File with</u>	
		<u>OIC</u>	<u>NAIC</u>
February 28, 2006 (March 1 for filing with the NAIC)			
Annual Statement and all March Supplements (including actuarial opinion)	paper	no	Yes
Annual Statement Electronic Filing and March PDF filing (including actuarial opinion)	electronic	Yes	Yes
Form IC-13A-HC/IC-14-HMO PDF Filing	electronic	Yes	no
RCW 48.43.045(2) Report PDF Filing	electronic	Yes	no
Schedule SIS PDF Filing	electronic	Yes	no
Supplemental Compensation Exhibit PDF Filing	electronic	Yes	no
WSHIP Notice of Assessment Report (WSHIP members only)	paper	Yes	no
March 1			
Risk-Based Capital Electronic Filing	electronic	no	Yes
Risk-Based Capital PDF Filing	electronic	Yes	no
Risk-Based Capital Report	paper	no	Yes
April 1			
Supplemental Electronic Filing and PDF filing (including MD&A)	electronic	Yes	Yes
Supplemental Statement (all April supplements)	paper	no	Yes
May 15			
Holding Company Filings (Forms B & C)	paper or email	Yes	no
Quarterly Statement Electronic Filing and PDF filing	electronic	Yes	Yes
Quarterly Statement	paper	no	Yes
June 1			
Accountants Letter of Qualifications PDF filing	electronic	Yes	no
Audited Financial Statements	paper	no	Yes
June PDF Filing (audited financial statements filing)	electronic	Yes	Yes
Report of Significant Deficiencies in Internal Controls PDF filing (if issued)	electronic	Yes	no
August 14			
Quarterly Statement Electronic Filing and PDF filing	electronic	Yes	Yes
Quarterly Statement	paper	no	Yes
November 14			
Quarterly Statement Electronic Filing and PDF filing	electronic	Yes	Yes
Quarterly Statement	paper	no	Yes

Do not file an "Amendment" or "Re-filing" in lieu of an "Original" filing. You may be subject to a fine.
"Re-filings" are for NAIC database purposes only and should not affect PDF files at the OIC.

We remind domestic entities that OIC approval is required to file an amendment.
 Requests from the NAIC to amend documents are implicitly approved by the OIC.
Unapproved amendments may result in the company reversing the amendment.

Domestic Health Care Service Contractors and Health Maintenance Organizations

Notes and Instructions

Washington

**2005 Annual Statement and
2006 Quarterly Statements**

NOTES AND INSTRUCTIONS (APPLY TO ALL FILINGS)			
	A	Questions on filing:	360-725-7200, ASFI@oic.wa.gov
	B	Electronic Filing Address:	ftp ftp.oic.wa.gov Same FTP password as 2005.
		Paper Filing Address: U.S. Mail:	Attention: Company Supervision Division PO Box 40259, Olympia, WA 98504-0259
		Private Third-Party Delivery Service:	Attention: Company Supervision Division 5000 Capitol Boulevard SE, Tumwater, WA 98501
	C	Filing Fees:	Included on the Premium Tax form. Do NOT submit with the Annual Statement documents!
	D	Premium Tax Forms:	Due on or before March 1. E-Tax is at https://fortress.wa.gov/oic/etax/
	E	Delivery Instructions:	The cancellation mark or shipping date stamped by the post office or third-party delivery service is considered the date filed. If the due date is a Saturday, Sunday or legal holiday, the due date is the next business day.
	F	Late Filings:	The commissioner may suspend or revoke the certificate of registration.
	G	Original Signatures:	Original required, except for the CPA-supplied documents.
	H	Signature/Notarization/ Certification:	Jurat: At least two officers must sign.
	I	Amended Filings:	Only file electronically. Follow the NAIC instructions and SSAP No. 3.
	J	Exceptions from normal filings:	Address written requests to Dennis Edward Julnes, Chief Financial Analyst. Email to DennisJ@oic.wa.gov or fax to 360-586-2022. For time extensions, state the date the reporting entity will file.
	K	Bar Codes:	We require NAIC bar codes on any paper signature page that has a NAIC document identifier code.
	L	Signed Jurat:	Not applicable to domestic companies.
	M	NONE Filings:	Put consecutive "none" pages on one page.
	N	Filings new, discontinued or modified materially since last year:	<ul style="list-style-type: none"> Form IC-13A-HC/IC-14-HMO has been revised as of November 2005. Available on http://www.insurance.wa.gov. After reviewing the entire regulation, annual filings of the Designation of Independent CPA and Accountant's Awareness Letter are not required for the same CPA or firm. Schedule SIS is now applicable to health entities. We will accept holding company filings as PDF files. The signature requirements are the same as those of financial statement filings. Mail to HoldCo@oic.wa.gov
	O	WSHIP Notice of Assessment Report	Available on http://www.insurance.wa.gov .

Domestic Health Care Service Contractors and Health Maintenance Organizations

General Instructions

Washington

2005 Annual Statement and 2006 Quarterly Statements

Refer to Washington Administrative Code (WAC) 284-07-050(4)(d), WAC 284-07-060(2)(c) and WAC 284-07-100(6) for information regarding the **Signature Pages**.

February 28, 2006 **The filing due date with the NAIC is March 1 (see RCW 48.44.095 or RCW 48.46.080)**
The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, according to the NAIC *Quarterly and Annual Statement Instructions* ("ASI"). This includes all detail investment schedules and other supplements for which the ASI exempt printed detail.

The **March PDF Filing** is the .pdf files of the annual statement data, detail for investment schedules, state pages and supplements that the ASI shows as due March 1.

The **Form IC-13A-HC/IC-14-HMO PDF Filing (Additional Data to Annual Statement)** is a .pdf file of the form.

The **RCW 48.43.045(2) Report PDF Filing** is a .pdf file of this report.

The **Schedule SIS PDF Filing** is a .pdf file of Schedule SIS.

The **Supplemental Compensation Exhibit PDF Filing** is a .pdf file for the Supplemental Compensation Exhibit.

March 1

The **Risk-Based Capital Electronic Filing** includes all risk-based capital data.

The **Risk-Based Capital PDF Filing** is a .pdf file for the RBC report.

April 1

The **Supplemental Electronic Filing** includes all ASI supplements due April 1.

The **Supplemental PDF Filing** is the .pdf files of all ASI supplemental schedules and exhibits due April 1.

May 15, August 14 and November 14

The **Quarterly Electronic Filing** includes the quarterly statement data.

The **Quarterly PDF Filing** is the .pdf for quarterly statement data.

June 1

The **Accountant's Letter of Qualifications PDF filing** is a .pdf file of the accountant's letter of qualifications.

The **June PDF Filing** is the .pdf file of the Audited Financial Statements.

The **Report of Significant Deficiencies in Internal Controls PDF filing** is a .pdf file of the report. You must file this report if the accountant issues it, even if the report says the accountant did not find any deficiencies. The due date is within 60 days after filing the audited financial statements, but shown as June 1 for convenience and consistency with the NAIC checklist template.

**This is a courtesy summary; it does not relieve the entity
from complying with all statutes and regulations.**